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10/09/03  
HEWLETT PACKARD LGL FOLL

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970 898 7247 P. 01

I hereby certify that this paper is being  
transmitted to the Patent and Trademark  
Office facsimile number 703-746-9195  
on 08-06-03  
Number of pages: 7

By: Marci Santillanes

Signature: Marci Santillanes

**IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE**

INVENTOR(S): John David Gerthe

ATTY. DOCKET NO.: 10992199-1

SERIAL NO: 09/558,201

EXAMINER: Not Assigned

FILED: 04-26-2000

ART UNIT: 2756

SUBJECT: Method And System For Transparent File Proxying

**REQUEST FOR CORRECTION**  
**COMMISSIONER FOR PATENTS**

Alexandria, VA 22313-1450

SIR:

In response to the Filing Receipt, received on July 17, 2000, please note the following correction:

APPLICANT(S):

Now reads: John David Gerthe, Fort Collins, CO.

Should read: John David Gerthe, Fort Collins, CO

In support of this request, I have enclosed a copy of the Filing Receipt dated 07-17-2000 and a copy of the executed Declaration and Power of Attorney as filed with the Transmittal Letter for Submittal of Missing Parts dated 07-06-2000 with Certificate of First Class Mailing.

Respectfully,

By: T. Grant Ritz  
T. Grant Ritz  
Reg. No. 39,819

Date: 2-31-3

Hewlett-Packard Company  
Legal Department  
P.O. Box 272400 MS 35  
Ft. Collins, CO 80528-9599  
Ph. No. (970) 898-0697

**RECEIVED**

JUL 20 2000

# FILING RECEIPT



\*OC000000005245060\*



**UNITED STATES DEPARTMENT OF COMMERCE**  
**Patent and Trademark Office**

**Address: ASSISTANT SECRETARY AND  
COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D. C. 20231**

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE RECD | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|--------------|-----------------|----------|------------|------------|
| 09/558,201         | 04/26/2000  | 2766         | 820          | 10992199-1      | 6        | 15         | 3          |

022879  
HEWLETT PACKARD COMPANY  
P O BOX 272400  
INTELLECTUAL PROPERTY ADMINISTRATION  
FORT COLLINS, CO 80527-2400

Wind  
WIND

Date Mailed: 07/17/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

**John David Gerthe, Fort Collins, CO:**

### Continuing Data as Claimed by Applicant

## Foreign Applications

**If Required, Foreign Filing License Granted 06/24/2000**

### Title

## Method and system for transparent file proxying

### Preliminary Class

709

Data entry by : HÅLLMAN, LINDA

**Team : OIPE**

**Date:** 07/17/2000

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52

~~4/4/2~~  
7/25/00

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

Dear Sir:

Please acknowledge receipt of the following document(s)  
re U.S. Patent Application PD No. 10992199-1

Atty: AWW S/N: 09/558,201 File Date: 4/26/00

Inventor: John David Gerthe

Title: Method And System For Transparent File Proxying

- \*Transmittal Letter For Submittal Of Missing Parts With Certificate Of 1st Class Mailing & Duplicate Copy
- \*1 (One) Page Of Executed Declaration & Power Of Attorney
- \*Copy Of "Notice To File Missing Parts Of Nonprovisional Application"



Hewlett-Packard Company  
Legal Dept. / MS 79  
3404 E. Harmony Rd.  
Fort Collins, CO 80528-9599

HEWLETT-PACKARD COMPANY  
Intellectual Property Administration  
P. O. Box 272400  
Fort Collins, Colorado 80528-9599

PATENT APPLICATION  
ATTORNEY DOCKET NO. 10992199-1

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): John David Gerthe

Serial No.: 09/558201

Examiner: Not Assigned

Filing Date: Apr 26, 2000

Group Art Unit:

Title: Method And System For Transparent File Proxying

ASSISTANT COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

TRANSMITTAL LETTER FOR SUBMITTAL OF MISSING PARTS

Sir:

This is in response to a Notice to File Missing Parts of Application under 37 CFR 1.53(f) mailed on 6/26/00. Enclosed is a copy of said Notice and the following documents and fees to complete the filing requirements of the above-identified application.

(X) Executed Declaration and Power of Attorney. The above-identified application is the same application which the Inventor executed by signing the enclosed declaration.

( ) Statutory basic filing fee ( ) Utility \$760.00 ( ) Design \$430.00

( ) Additional claim fees of \$

(X) Missing Parts Surcharge \$130.00

( ) A Petition for Extension of Time for reply to Notice of Missing Parts is attached.

( ) one month \$110.00  
( ) two months \$380.00  
( ) three months \$870.00  
( ) four months \$1360.00

Please charge to Deposit Account 08-2025 the sum of \$130.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 08-2025 pursuant to 37 CFR 1.25.

(X) A duplicate copy of this transmittal letter is enclosed.

Respectfully submitted,

John David Gerthe

By 

Steven L. Webb

Attorney/Agent for Applicant(s)  
Reg. No. 44,395

Date: 7/5/00

Telephone No.: (970) 898-7745

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: 7/16/00

Typed Name: Cristy J. Salazar

Signature: 

**DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATION**ATTORNEY DOCKET NO. 10992199-1

As a below named inventor, I hereby declare that:

My residence/post office address and citizenship are as stated below next to my name;

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Method And System For Transparent File Proxying

the specification of which is attached hereto unless the following box is checked:

(X) was filed on Apr 26, 2000 as US Application Serial No. or PCT International Application Number 09/558201 and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understood the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above. I acknowledge the duty to disclose all information which is material to patentability as defined in 37 CFR 1.56.

**Foreign Application(s) and/or Claim of Foreign Priority**

I hereby claim foreign priority benefits under Title 35, United States Code Section 119 of any foreign application(s) for patent or inventor(s) certificate listed below and have also identified below any foreign application for patent or inventor(s) certificate having a filing date before that of the application on which priority is claimed:

| COUNTRY | APPLICATION NUMBER | DATE FILED | PRIORITY CLAIMED UNDER 35 U.S.C. 119 |
|---------|--------------------|------------|--------------------------------------|
| N/A     |                    |            | YES: _____ NO: _____                 |
|         |                    |            | YES: _____ NO: _____                 |

**Provisional Application**

I hereby claim the benefit under Title 35, United States Code Section 119(e) of any United States provisional application(s) listed below:

| APPLICATION SERIAL NUMBER | FILING DATE |
|---------------------------|-------------|
| N/A                       |             |
|                           |             |

**U. S. Priority Claim**

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

| APPLICATION SERIAL NUMBER | FILING DATE | STATUS (patented/pending/abandoned) |
|---------------------------|-------------|-------------------------------------|
| N/A                       |             |                                     |
|                           |             |                                     |
|                           |             |                                     |

**POWER OF ATTORNEY:**

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

Customer Number 022879Place Customer  
Number Bar Code  
Label hereSend Correspondence to:  
HEWLETT-PACKARD COMPANY  
Intellectual Property Administration  
P.O. Box 272400  
Fort Collins, Colorado 80528-9599

Direct Telephone Calls To:

Augustus W Winfield  
(970) 898-3142

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Inventor: John David GertheCitizenship: USResidence: 2607 Appleton Court Fort Collins CO 80525Post Office Address: Same As Residence

Date

5/18/00

## FORMALITIES LETTER

\*OC00000005201033\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/558,201         | 04/26/2000          | John David Gerthe     | 10992199-1             |

022879  
HEWLETT PACKARD COMPANY  
P O BOX 272400  
INTELLECTUAL PROPERTY ADMINISTRATION  
FORT COLLINS, CO 80527-2400

Date Mailed: 06/26/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

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*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE